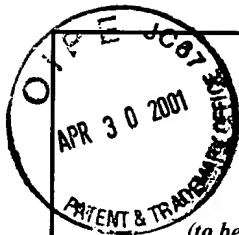


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL
FORM

(to be used for all correspondence after filing)

Total number of Pages in this submission 10

Application Number	09/646,478
Filing Date	September 15, 2000
First Named Inventor	JEN et al.
Group Art Unit	NYA
Examiner Name	NYA
Attorney Docket No.	126881201800

Commissioner of Patents
Washington, D.C. 20231

ENCLOSURES (check all that apply)

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☐ ISSUE FEE TRANSMITTAL☐☐

REMARKS:

BAKER & MCKENZIE
660 HANSEN WAY
PALO ALTO, CALIFORNIA 94304
TELEPHONE: (650) 856-2400
FACSIMILE: (650) 856-9299

DATE: APR 25, 2001

BY: 

ANTOINETTE F. KONSKI, REG. NO. 34,202

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents, Washington, D.C. 20231 on this date: April 25, 2001.

By: _____

Name of person signing: Mary R. Zimmerman



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#106

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application for:

Jin JEN, et al.

Application Serial No.: 09/646,478
(PCT/US99/06947)

Filing Date: September 15, 2000 (March 30, 1999)

For: **METHODS FOR THE DIAGNOSIS AND
TREATMENT OF LUNG CANCER**

Examiner: Unassigned

Group Art Unit: Unassigned

Attorney's Docket No. 126881-201800

**PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY
UNDER 37 C.F.R. § 3.71**

Commissioner for Patents
Washington, D.C. 20231

Sir:

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Legal Staff
International Division

Johns Hopkins University, an assignee of the right, title and interest in this patent application, under 37 C.F.R. § 3.71 hereby appoints:

Antoinette F. Konski
Mark Della Valle
Michele Todd Wasmuth

Reg. No. 34,202
Reg. No. 34,147
Reg. No. 43,239

all of the firm Baker & McKenzie, 660 Hansen Way, Palo Alto, CA 94304, to prosecute this application and transact all matters in the U.S. Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71.

Please direct all written communications relative to this application to:

Antoinette F. Konski
Baker & McKenzie
660 Hansen Way
Palo Alto, California 94304

Please direct all telephone communications to Antoinette F. Konski at (650) 856-5564

John Hopkins University

Dated: 4/4/01

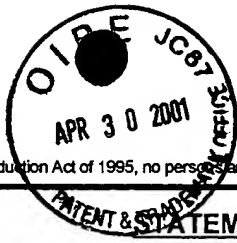
By: R. Keith Baker

Name: **R. Keith Baker, Ph.D.**

Title: **Acting Director, Office of Technology
Licensing**

Address: **111 Market Place, Suite 906
Baltimore, Maryland 21202**

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PATENT STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Jin JEN, et al.

Application No./Patent No.: 09/646,478

Filed/Issue Date: September 15, 2000

Entitled: Methods for the Diagnosis and Treatment of Lung Cancer

John Hopkins Univeristy

a Maryland

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

02/19/01
Date


Signature

Nina Ossanna, Ph.D.

Typed or printed name

Director, Office of Technology Licensing

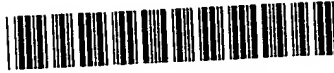
Title

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Patent and Trademark Office

Attorney's Docket No. 126881-201800

To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): **JinJen; and David Sidransky**☒ Individual(s)☐ General Partnership☐ Corporation-State☐ Association☐ Limited Partnership☐ OtherAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Security Agreement☐ Other:☐ Merger☐ Change of NameExecution Date: **January 3 and 4, 2001**

2. Name and address of receiving party(ies):

Name: **John Hopkins University**Address: **School of Medicine****824 Ross Research Building****720 Rutland Avenue**City: **Baltimore** State: **Maryland** Zip Code: **21202 USA**Additional name(s) & address(es) attached? ☐ Yes ☒ No4. Application number(s) or patent number(s): **09/646,478**

If this document is being filed with a new application, the execution date of the application is:

A. Patent Application No.(s):

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Antoinette F. Konski**Baker & McKenzie****660 Hansen Way****Palo Alto, California 94304**6. Total number of applications and patents involved: **1**7. Total fee (37 C.F.R. § 3.41): **\$40.00**☒ Enclosed☐ Authorized to be charged to deposit account, referencing Attorney Docket No.8. Deposit account number: **50-0974**

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 50-0974

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Name: **Antoinette F. Konski (Reg. No. 34,202)**

Signature

Date: **January 11, 2001**Total number of pages comprising cover sheet, attachments and document: **5**

Mail documents to be recorded with required cover sheet information to:

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Washington, D.C. 20231

01/26/2001 6TON11 00000202 09646478

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**ASSIGNMENT
JOINT**

THIS ASSIGNMENT, by Jin Jen and David Sidransky (hereinafter referred to as the assignors), residing at 2104 Heritage Drive, Baltimore, Maryland 21209 and 3007 Northbrook Rd., Baltimore, Maryland 21209 respectively, witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in **METHODS FOR THE DIAGNOSIS AND TREATMENT OF LUNG CANCER**, set forth in an application for Letters Patent of the United States, bearing Serial No. 09/646,478, based on PCT International PCT/US99/06947, filed on March 30, 1999, and

WHEREAS, John Hopkins University, a university duly organized under and pursuant to the laws of Maryland and having its principal place of business at School of Medicine, 824 Ross Research Building, 720 Rutland Avenue, Baltimore, MD 21202 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents does sell, assign, transfer and set over, unto said assignee, its successors, legal representative and assigns, the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and the use of its successors, legal representative and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the joint and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representative and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

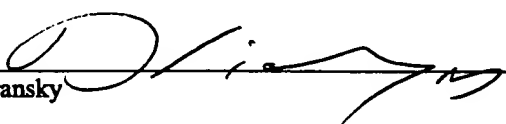
PATENT

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

1/3/01
Date


Jin Jen

1/4/01
Date


David Sidransky

ASSIGNMENT

We, **Jin Jen and David Sidransky**, whose full post office addresses are **2412 St. George Way, Brookeville, Maryland 20833** and **3007 Northbrook Road, Baltimore, Maryland 21209**, respectively, in consideration of \$1.00, the receipt of which is hereby acknowledged and other good and valuable consideration, do hereby sell and assign to **John Hopkins University**, whose full post office address is **School of Medicine, 824 Ross Research Building, 720 Rutland Avenue, Baltimore, Maryland 21205**, all our rights, title and interests in Canada in and to the invention disclosed in an application for patent relating to, and entitled **METHODS FOR THE DIAGNOSIS AND TREATMENT OF LUNG CANCER**, the application originating from PCT application number PCT/US99/06947 and bearing the Canadian Patent Application No. 2,323,058, and international filing date of 30 March 1999, and to all our corresponding rights, title and interests in and to any patent which may be, or has been granted therefor.

The Assignors hereby require that this assignment be drawn in the English language.

SIGNED at Bethesda, MD. USA
City and State Country

This 3rd day of January, 2001.


Jin Jen

STATEMENT BY WITNESS

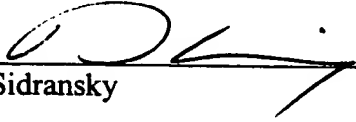
I, STEPHANIE FLAHER whose full post office address is
14809 CHERRY LEAF TERRACE, SILVER SPRING, MD 20906

was personally present and did see JIN JEN execute the
within assignment and such assignor is personally known to me to be the person described in
such document.


Signature of Witness

SIGNED at BALTIMORE, MD USA
City and State Country


This 4 day of JANUARY, 2000.


David Sidransky

STATEMENT BY WITNESS

I, ROBIN LIN BAEWSTER whose full post office address is
602 N CHURCHILL RD. BEL AIR, MD 21014

was personally present and did see DAVID SIDRANSKY, M.D. execute the
within assignment and such assignor is personally known to me to be the person described in
such document.


Signature of Witness

APRIL 06, 2001

BAKER & MCKENZIE
ANTOINETTE F. KONSKI
660 HASEN WAY
PALTO ALTO, CA 94304



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RECORDATION DATE: 01/17/2001

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ASSIGNOR:
JEN, JIN

DOC DATE: 01/03/2001

ASSIGNOR:
SIDRANSKY, DAVID

DOC DATE: 01/04/2001

ASSIGNEE:
JOHN HOPKINS UNIVERSITY SCHOOL OF
MEDICINE
824 ROSS RESEARCH BLDG/ 720
RUTLAND AVENUE
BALTIMORE, MARYLAND 21202

SERIAL NUMBER: 09646478
PATENT NUMBER:

FILING DATE:
ISSUE DATE:

Baker & McKenzie

APR 12 2001

Received
Patent Dept.

011456/0750 PAGE 2

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